

Docket No.
000790/0007

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: **Keiichi Nakajima**

Group Art Unit: **3625**

Application No.: **09/630,563**

Examiner: **Robert M. Pond**

Filed: **August 2, 2000**

For: **ELECTRONIC SETTLEMENT SYSTEM, SETTLEMENT
APPARATUS, AND TERMINAL**

Date: **December 27, 2006**

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56 and in accordance with the practice under 37 C.F.R. §§ 1.97 and 1.98, the Examiner's attention is directed to the documents listed on the enclosed Information Disclosure Statement by Applicant form (PTO/SB/08A and/or B, PTO-1449, or equivalent).

The following checked sections apply to this Information Disclosure Statement:

- ☒ In accordance with 37 C.F.R. § 1.98(a)(2)(ii) as revised at 69 Fed. Reg. 56481 (September 21, 2004), copies of the cited U.S. patent application publication(s) and/or U.S. patent(s) have not been submitted.
- ☐ The cited reference(s) were called to Applicant'(s) attention in a counterpart foreign patent application. A copy of the official communication in that counterpart foreign patent application citing the reference(s) is submitted herewith, and the Examiner is respectfully directed thereto for a concise explanation of the relevance of the cited art.
- ☒ At least some of the cited references are not (or the cited reference is not) in English, and so English abstracts of those references (that reference) are provided, if available.
- ☒ At least some of the cited references are not (or the cited reference is not) in English, and so machine English translations of those references (that reference) are provided, where available.
- ☐ This Information Disclosure Statement is being filed (1) within three months of the filing date of a national application other than a continued prosecution application under Sec. 1.53(d), (2) within three months of the date of entry of the national stage as set forth in Sec. 1.491 in an international application, (3) before the mailing of a first Office action on the merits, or (4) before the mailing of a first Office action after the filing of a Request for Continued Examination under 37 C.F.R. § 1.114. Accordingly, neither a fee nor Statement under 37 C.F.R. § 1.97(e) is due.

☒ This Information Disclosure Statement is being filed before the mailing date of any of a final action under 37 C.F.R. § 1.113, a Notice of Allowance under 37 C.F.R. § 1.311, or an action that otherwise closes prosecution in the application, and so is accompanied by one of:

(1) A Statement under 37 C.F.R. § 1.97(e), which follows; or

(2) The fee set forth in 37 C.F.R. § 1.17(p), authorization for which follows.

☐ This Information Disclosure Statement is being filed either (1) on or after the mailing date of a final action under 37 C.F.R. § 1.113, or (2) on or before payment of the issue fee, and is accompanied by:

(1) A Statement under 37 C.F.R. § 1.97(e), which follows; and

(2) The fee set forth in 37 C.F.R. § 1.17(p), authorization for which follows.

☒ Fee Under 37 C.F.R. § 1.17(p)

The Commissioner is authorized to charge the fee under 37 C.F.R. § 1.17(p) (\$180) to Deposit Account No. 19-4709.

☐ Statement Under 37 C.F.R. § 1.97(e)

Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement; or

No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in Sec. 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

☒ Additional Comments

Applicant(s) have the following additional comments:

Both U.S. 5,889,863 and 6,178,409, already of record, are English language counterparts to cited WO 97/49074. Cited U.S. 60/131,369 is the provisional application upon which cited U.S. 6,970,852 is based. Cited JP 11-224236 is a counterpart to cited EP 0 935 221.

Copies of the cited pending U.S. applications have been provided. The Examiner may want to check the pending claims in those cases that have been amended, which can be done at his side. If the Examiner prefers and so requests, copies of those pending claims will be provided.

It is respectfully requested that the above information be considered by the Examiner and that an initialed copy of the accompanying Information Disclosure Statement by Applicant form (PTO/SB/08A and/or B, PTO-1449, or equivalent) be returned to the undersigned indicating that such information has been considered.

Other than any fees mentioned above, no fees are believed to be due in connection with this Information Disclosure Statement. Nevertheless, the Commissioner is authorized to charge any fees which are deemed to be now or hereafter due in connection with this paper to Deposit Account No. 19-4709.

Favorable consideration and prompt allowance of this application is respectfully requested. In the event that there are any questions, or should additional information be required, please contact Applicant'(s) attorney at the number listed below.

Respectfully submitted,

/David L. Schaeffer/

David L. Schaeffer

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FORM PTO 1449 (<i>modified</i>) U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE LIST OF REFERENCES CITED BY APPLICANT(S) (Use several sheets if necessary)				ATTY DOCKET NO. 000790/0007		APPLICATION NO. 09/630,563	
				APPLICANT Keiichi Nakajima			
				FILING DATE August 2, 2000		GROUP 3625	

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		5,267,314	11/1993	Stambler			
		5,321,242	6/1994	Heath			
		5,590,199	12/1996	Krajewski, et al.			
		5,591,949	1/1997	Bernstein			
		5,604,802	2/1997	Holloway			
		5,615,110	3/1997	Wong			
		5,708,422	1/1998	Blonder			
		5,724,424	3/1998	Gifford			
		5,745,886	4/1998	Rosen			
		5,826,241	10/1998	Stein			
		5,903,878	5/1999	Talati et al.			

FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES/NO/ OR ABSTRACT
		0 935 221A2	11/1999	EP			English Original
		8-16740A	1/1996	Japan			w/ Engl. Abst. & Machine Transln.
		8-96043A	4/1996	Japan			w/ Engl. Abst. & Machine Transln.
		9-116960A	5/1997	Japan			w/ Engl. Abst. & Machine Transln.
		11-45366A	2/1999	Japan			w/ Engl. Abst. & Machine Transln.
		11-224236A	8/1999	Japan			w/ Engl. Abst. & Machine Transln.

OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)	
	Microsoft Press Computer Dictionary, p. 456 (3d ed. 1997)

EXAMINER	DATE CONSIDERED
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		5,914,472	6/1999	Foladore et al.			
		5,974,146	10/1999	Randle et al.			
		5,986,565	11/1999	Isaka			
		5,991,749	11/1999	Morrill, Jr.			
		6,128,600	10/2000	Imamura et al.			
		6,282,522	8/2001	Davis et al			
		6,366,893	4/2002	Hannula et al.			
		2002/0073046	6/2002	David			
		6,453,301	9/2002	Niwa			
		6,488,203	12/2002	Stoutenburg et al			
		6,754,640	6/2004	Bozeman			
		6,970,852	11/2005	Sendo et al			
		60/131,369	none	Sherman			4/28/1999

FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES/NO/ OR ABSTRACT
		97/49074	12/1997	WIPO			English Original
		99/09502	2/1999	WIPO			w/ Engl. Abst.
		00/49551	8/2000	WIPO			English Original
		01/022342	3/2001	WIPO			w/ Engl. Abst.

OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)		

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U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		09/630,557	none	Nakajima			8/2/2000
		09/786,208	none	Nakajima			5/8/2001
		11/043,050	none	Nakajima			1/27/2005
		11/344,131	none	Nakajima			2/1/2006

FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES/NO/ OR ABSTRACT

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